

**NOAA Disposition Handbook**  
**Chapter 200: Administrative and Housekeeping Records**  
(Rev.1/02)

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## **NOAA Disposition Handbook**

### **Chapter 200: Administrative and Housekeeping Records**

This Chapter lists the most common administrative and housekeeping records that are maintained in all levels of NOAA offices. These records include routine and facilitative records that many or all government agencies create and maintain for day-to-day administrative and management functions. These are already scheduled in the General Records Schedule (GRS), issued and approved by the National Archives, or by an approved SF-115.

#### **200**

##### **-01 Administrative Files**

Records accumulated by individual offices that relate to the internal administration or housekeeping activities for the office rather than the function for which the office exists. In general, these records relate to:

The office organization, staffing, procedures, and communications, including facsimile machine logs;

The expenditure of funds, including budget records;

Day-to-day administration of office personnel;

Training;

Travel;

Supplies;

Office services;

Equipment requests and receipts; and

The use of office space and utilities

They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs the office.

Note: These records are grouped together, but if separated, they still possess the same disposition authority. This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the office, which must be scheduled prior to disposition by submitting an SF-115 to the National Archives and Records Administration (NARA).

For information regarding the scheduling of these records, please contact the NOAA Records Management Officer.

**Authorized Disposition (GRS 23, 1)**

- a. Recordkeeping paper copy: Destroy when 2 years old.
- b. Electronic copies created on word processing and electronic mail systems: Delete 90 days after printing and filing in records keeping system.

**200**

**-02 Audit Case Files**

Case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees, containing audit reports, correspondence, memoranda, and supporting working papers.

**Authorized Disposition:**

- a. Recordkeeping paper copy: Cut off at the end of FY in which case is closed. Destroy 8 years later.
- b. Electronic copies created on word processing and electronic mail systems: Delete 180 days after recordkeeping copy has been produced.

**200**

**-03 Budget Background Records**

Program office copies of materials which constitute program office input during the annual budget formulation cycle, and materials which constitute the office portion of the budget during the budget execution phase. Cost statements, rough data, and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules, and originating offices' copies of reports submitted to budget offices.

**Authorized Disposition (GRS 5, 2)**

- a. Recordkeeping paper copy: Destroy 1 year after the close of the fiscal year covered by the budget.
- b. Electronic copies created on word processing and electronic mail systems: Delete 180 days after recordkeeping copy has been produced.

**200**

**-04 Budget Estimate and Narrative Statement Files (Supercedes 203-08)NC-174-228**

Documents pertaining to budget estimates prepared or consolidated by budget offices; and including appropriation language sheets, narrative statements, and papers related to associated meetings and briefings.

**Authorized Disposition:**

a. Recordkeeping paper copy : **Permanent**. Cut off at end of fiscal year. Transfer to the FRC 2 years after closure. Transfer to the National Archives 20 years after closure.

b. Electronic copies created on word processing and electronic mail systems: Delete 90 days after recordkeeping copy has been produced.

**200**

**-05 Agency-wide Budget Projection Files (Supercedes 202-01B2)NC1-370-76-5)**

Projections of resources needed to meet program needs and future goals.

**Authorized Disposition**

a. Recordkeeping paper copy files: Close files at the end of FY and transfer to the FRC after 3 years. Destroy 10 years after closure.

b. Electronic copies created on word processing and electronic mail systems: Delete 90 days after printing and filing in records keeping system.

**200**

**-06 Budget Tracking Files - ELECTRONIC**

Electronic spreadsheets used to track office expenditures for budgetary control.

**Authorized Disposition (GRS 23, 1)**

Delete when 2 years old, or when no longer needed. whichever is sooner.

**200**

**-07 Combined Federal Campaign and Transitory Files**

Documents of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below.

- Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply.
- Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.

- Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.

**Authorized Disposition (GRS 23,7)**

Destroy when 3 months old.

**200**

**-08 Committee Management Liaison Files**

Documents accumulated in serving as liaison between committees and the Department or other organizational elements.

**Authorized Disposition**

Pending approval from the National Archives

**200**

**-09 Credit/Bank Card Transactions**

Copies of bank statements of credit card transactions with receiving reports and related documentation.

**Authorized Disposition GRS 23, 1.**

a. Recordkeeping paper copy files: Destroy when 2 years old, or when no longer needed, whichever is sooner.

b. Electronic copies created on word processing and electronic mail systems: Delete 90 days after recordkeeping copy has been produced.

**200**

**-10 Electronic Versions of Records Scheduled for Disposal**

Electronic records that support administrative housekeeping functions when the records are derived from or replace hard copy records authorized by NARA for destruction in an agency-specific records schedule.

a. When hard copy records are retained to meet recordkeeping requirements.

**Authorized Disposition (GRS 20, 3)**

Delete electronic version when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purposes.

b. When the electronic record replaces hard copy records that support administrative housekeeping functions.

**Authorized Disposition (GRS 20, 3)**

Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later.

- c. Hard copy printouts created for short-term administrative purposes.

**Authorized Disposition (GRS 20, 3)**

Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

**200**

**-11 EEO General Files**

General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and agency EEO Committee meeting records, including minutes and reports.

**Authorized Disposition (GRS 1,25,g)**

- a. Recordkeeping paper copy: Destroy when 3 years old, or when superseded, whichever is applicable.
- b. Electronic copies created on word processing and electronic mail systems: Delete 180 days after recordkeeping copy has been produced.

**200**

**-12 Electronic Mail Records**

Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

**Authorized Disposition (GRS 20,14)**

Delete from the e-mail system after copying to a recordkeeping system.

**200**

**-13 Federal Financial System Data Input Files**

Files relating to office expenditures such as acquisitions, training, travel or other expenses which have been processed into the Federal Financial System.

**Authorized Disposition (GRS 23, 1)**

a. Recordkeeping paper copy: Destroy when 2 years old, or when no longer needed, whichever is sooner.

b. Electronic copies created on word processing and electronic mail systems: Delete after recordkeeping copy has been produced.

**200**

**-14 Finding Aids (or Indexes)**

Indexes, lists, registers, and other finding aids in hard copy or electronic form used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF-115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

**Authorized Disposition (GRS 23, 9 and 20,9)**

Destroy or delete with the related records, or sooner if no longer needed.

**200**

**-15 Freedom Of Information Act (FOIA) Requests Files**

Files created in response to requests for information under the Freedom of Information Act, consisting of the original request, a copy of the reply thereto, and all supporting files which may include the official file copy of requested record or copy thereof.

**Authorized Disposition (GRS 14,11)**

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records: Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Request not appealed: Destroy 2 years after date of reply.

(b) Request appealed: See Freedom of Information Act Appeals Files.

(3) Denying access to all or part of the records requested.

(a) Request not appealed: Destroy 6 years after date of reply.

(b) Request appealed: See Freedom of Information Act Appeals Files.

- b. Official file copy of requested records: Dispose of in accordance with approved agency disposition instructions for the related records or with the related FOIA request, whichever is later.
- c. Electronic copies created on word processing and electronic mail systems: Delete 180 days after recordkeeping copy has been produced.

**200**

**-16 Freedom Of Information Act (FOIA) Control Files**

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

**Authorized Disposition (GRS 14,13)**

- a. Registers or listing: Destroy 6 years after date of last entry.
- b. Other Files: Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later.
- c. Electronic copies created on word processing and electronic mail systems: Delete 180 days after recordkeeping copy has been produced.

**200**

**-17 Freedom of Information Act (FOIA) Appeals Files**

Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

**Authorized Disposition (GRS 14,12)**

- a. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein): Destroy 6 years after final determination by agency, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later.
- b. Official file copy of records under appeal: Dispose of in accordance with approved agency disposition instructions for the related record or with the related FOIA request, whichever is later.

- c. Electronic copies created on word processing and electronic mail systems: Delete 180 days after recordkeeping copy has been produced.

**200**

**-18 Fund Use and Availability Files**

(Supercedes 203-14)GRS 5:5

Reports and other documents pertaining to the accounting of funds spent and the status of apportioned accounts; also related briefings and meetings. the status of apportioned accounts; also related briefings and meetings.

**Authorized Disposition:**

a. Recordkeeping paper copy: End of fiscal year report: Cut off at end of fiscal year. Destroy after 5 years.

b. Electronic copies created on word processing and electronic mail systems: Delete 90 days after recordkeeping copy has been produced.

Other files:

a. Recordkeeping paper copy: Cut off at end of fiscal year and destroy after 3 years.

b. Electronic copies created on word processing and electronic mail systems: Delete 90 days after recordkeeping copy has been produced.

**200**

**-19 Input Source Records**

1. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule.

**Authorized Disposition (GRS 20,2)**

Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

2. Electronic records, except as noted in c, entered into the system during an update process, and not required for audit and legal purposes.

**Authorized Disposition (GRS 20,2)**

Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as

back-up to, a master file or database, whichever is later.

3. Electronic records received from another agency and used as input/ source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency.

**Authorized Disposition (GRS 20,2)**

Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as back up to, the master file or database, whichever is later.

4. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database.

**Authorized Disposition (GRS 20,2)**

Delete after the necessary data have been incorporated into a master file.

**200**

**-20 Key Accountability Files**

Files relating to accountability for keys issued.

**Authorized Disposition (GRS 18, 16)**

- a. For areas under maximum security: Destroy 3 years after turn-in of key.
- b. For other areas: Destroy 6 months after turn-in of key.

**200**

**-21 Library Materials**

Material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications.

**Nonrecord**

Discard when superseded or no longer needed.

**200**

**-22 Mail Management Files (Supercedes 204-20) GRS 16:11**

Documents relating to negotiations with the Postal System, analyses of mail

practices, and recommended changes.

**Authorized Disposition:**

a. Recordkeeping paper copy files: Cut off at end of calendar year when created. Destroy after 6 years or when no longer needed for reference, whichever is sooner.

b. Electronic copies created on word processing and electronic mail systems: Delete 90 days after recordkeeping copy has been produced.

**200**

**-23 Personnel Files: Supervisors and Duplicate OPF Documentation**

Actions, evaluations, samples of work, counseling activity, and records related to supervising staff.

1. Supervisor's Personnel Files.  
Correspondence, forms, and other records relating to positions, authorizations, pending actions, position description, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.

**Authorized Disposition (GRS 1, 18)**

Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer.

2. Duplicate Documentation.  
Other copies of documents duplicated in OPF's not provided for elsewhere in this schedule.

**Authorized Disposition (GRS 1, 18)**

- a. Destroy when 6 months old
- b. Electronic copies created on word processing and electronic mail systems: Delete 90 days after recordkeeping copy has been produced.

**200**

**-24 Records Disposition Files**

Descriptive inventories, disposal authorizations, schedules, and reports. Includes copies of SF-135 used to transfer records to the Federal Records Center. Each form contains accession number, disposal authority, date of transfer, description of material and disposal date. Copies are also maintained in the NOAA Records

Management Office Files.

For information regarding the scheduling of these records, please contact NOAA's Records Manager Officer.

**Authorized Disposition (GRS 16, 2)**

- a. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Agreement to Transfer Records to National Archives of the United States; and related documentation.
  - (1) SF 115s that have been approved by NARA: Destroy 2 years after supersession.
  - (2) Other records: Destroy 6 years after the related records are destroyed or after the related records are transferred to the National Archives of the United States, whichever is applicable.
- b. Routine correspondence and memoranda: Destroy when 2 years old.
- c. Electronic copies created on word processing and electronic mail systems: Delete 90 days after recordkeeping copy has been produced.

**200**

**-25 Reorganization Proposal Case Files**

(Supercedes 212-01) GRS 16:13a

Case files on proposed changes in organization structure. Includes proposals, justifications, studies, appraisals, new organizational pattern, codes and an outline of personnel changes. This item applies only to internal NOAA reorganizations requiring NOAA approval.

**Authorized Disposition**

- a. Recordkeeping paper copy: Permanent. Close files when proposal is finally approved or disapproved and transfer to the FRC 3 years after closure. Transfer to the National Archives after 20 years.
- b. Electronic copies created on word processing and electronic mail systems: Delete 90 days after recordkeeping copy has been produced.

**200**

**-26 Routine Procurement/Contract Administrative (COTR/TOM/TM) Files**

Non-contract related requisitions, purchase order, lease, bond and surety records,

including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment (EXCLUDING Real Property Files and Tax Exemption Files). Includes copies of records described above used by component elements of a procurement office for administrative purposes. Original records are maintained in Procurement

**Authorized Disposition (GRS 3, 3.c)**

Destroy upon termination or completion.

**200**

**-27 Schedules of Daily Activities**

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits and other activities by federal employees while serving in an official capacity, created and maintained in hard copy or electronic form. EXCLUDING material determined to be personal.

1. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high government officials **Note:** Unique substantive records relating to the activities of high agency-level officials must be scheduled by submission of an SF-115 to NARA. For information regarding the scheduling of these records, please contact NOAA's Records Manager Officer.

**Authorized Disposition (GRS 23, 5)**

- a. Destroy when 2 years old.
  - b. Electronic copies created on word processing and electronic mail systems: Delete 90 days after recordkeeping copy has been produced.
2. Records documenting routine activities containing no substantive information and records containing substantive information which has been incorporated into organized files.

**Authorized Disposition (GRS 23, 5)**

- a. Destroy or delete when no longer needed.
- b. Electronic copies created on word processing and electronic mail systems: Delete 90 days after recordkeeping copy has been produced.

**200**

**-28 Spread Sheets**

Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or background materials or feeder reports.

1. When used to produce hard copy that is maintained in organized files.

**Authorized Disposition (GRS 20,15)**

Delete when longer needed to update or produce hard copy.

2. When maintained only in electronic form.

**Authorized Disposition (GRS 20,15)**

Delete after expiration of the retention period authorized for the hard copy by the GRS or a NARA approved SF 115. If the electronic version replaces hard copy records with differing retention periods and agency software does not readily permit selective deletion, delete after the longest retention period has expired.

**200**

**-29 Suspense Log**

Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

**Authorization Disposition (GRS 23, 6a-)**

- a. A note or other reminder to take action: Destroy after action is taken.
- b. The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected: Withdraw documents when reply is received.
  - (1) If suspense copy is an extra copy, destroy immediately.
  - (2) If suspense copy is the file copy, incorporate it into the official files.

**200**

**-30 Technical Reference Materials**

Publications, phone books, extra copies of administrative or procedure manuals, and directives acquired and preserved solely for reference, or stocked for general distribution or handout.

**Nonrecord**

Discard when superseded or no longer needed.

**200**

**-31 Time and Attendance Input Records**

Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor.

**Authorization Disposition (GRS 2,8)**

Destroy after GAO audit or when 6 years old, whichever is sooner.

**200**

**-32 Time and Attendance Source Records**

All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards, flextime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be in either machine-readable or paper form.

**Authorized Disposition (GRS 2, 7)**

Destroy after GAO audit, or when 6 years old, whichever is sooner.

**200**

**-33 Tracking and Control Records**

Logs, registers and other records in hard copy or electronic form used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA approved SF-115.

**Authorized Disposition (GRS 23, 8)**

Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.

**200**

**-34 Word Processing Files - ELECTRONIC**

Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

**Authorized Disposition (GRS 20,13)**

Delete from the word processing system when no longer needed for updating or revision.